INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE
SECTION A: EXECUTIVE SUMMARY

1.	**Electronic Submittal Date**	

Project #	
Date Rec'd	
Doc. Type	

		PFSR	FSR	PCR	SPR	PSP	FSR/ER
2.	**Type of Document**				X		
	Document ID #						

			Estimated Project Dates	
3.	**Project Title**	**Expanded Adoption Subsystem – Child Welfare Services/Case Management System**	**Start**	**End**
	Project Acronym	**Expanded Adoption Subsystem (EAS)**	**07/01/01**	**03/01/06**

			Forced Rank Project Priority
4.	**Submitting Department**	**Health and Human Services Data Center (HHSDC)**	
5.	**Reporting Agency**		

6. Project Objective (brief description, 400 characters]

This project implements the federal and state directives for CDSS to maximize positive outcomes for children. These improvements will:

- Reduce the case worker effort necessary to place children with adoptive families;
- Ensure that the data meets CDSS's accuracy standards;
- Improve Adoption and Foster Care Analysis and Reporting System (AFCARS) compliance;
- Allow for parallel processing of children through the child welfare services and adoptions programs.

8.	Project Phasing	Budget
	Project Initiation	$1,444,000
	Implementation	$17,954,843
	TOTAL PROJECT BUDGET	$19,398,843

7. Proposed Solution (brief description, 400 characters]

The proposed solution is to develop additional functionality within the current CWS/CMS system to improve Adoptions operations in California. The additional functionality was selected to improve outcomes for children and families by allowing improved case management, parallel processing of children through the Child Welfare system and the Adoptions system, and increase CWS/CMS usage statewide to establish AFCARS compliance.

INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE
SECTION B: PROJECT CONTACTS

Project #	
Date Rec'd	
Doc. Type	

Executive Contacts								
	First Name	Last Name	**Area Code**	**Phone #**	**Ext.**	**Area Code**	**Fax #**	**E-mail**
Agency Secretary	Grantland	Johnson	916	654-3345		916	654-3343	gjohnson@chhs.cahnet.gov
Dept. Director	Robert	Dell'Agostino	916	739-7500		916		Bob.Dell'Agostino@hhsdc.ca.gov
Budget Officer	Joseph	Radding	916	454-8095		916	739-7909	jradding@hhsdc.ca.gov
CIO	Bob	Ferguson	916	263-1103		916		bob.ferguson@hhsdc.ca.gov
Project Sponsor	Sylvia P.	Pizzini	916	657-2614		916	657-2049	Sylvia.pizzini@dss.ca.gov

Direct Contacts								
	First Name	**Last Name**	**Area Code**	**Phone #**	**Ext.**	**Area Code**	**Fax #**	**E-mail**
Doc. prepared by	Russell	Hayes	916	263-1129		916		Russell.Hayes@hhsdc.ca.gov
Primary Contact	Kathy	Curtis	916	263-1116		916		kathy.curtis@hhsdc.ca.gov
Project Director	Bob	Ferguson	916	263-1103		916		bob.ferguson@hhsdc.ca.gov

INFORMATION TECHNOLOGY PROJECT SUMMARY
SECTION C: PROJECT RELEVANCE TO STATE AND/OR DEPARTMENTAL PLANS

1.	What is the date of your current Operational Recovery Plan (ORP)?	Date	5/2000		Project #		
2.	What is the date of your current Agency Information Management Strategy (AIMS)?	Date	8/2001		Date Rec'd		
3.	For the proposed project, provide the page reference in your current AIMS and/or strategic business plan.	Doc.	AIMS		Doc. Type		
		Page #	37				

				No
4.	Is the project reportable to control agencies? (SIMM Volume 1, Policy 5.0)		X	
	If YES, CHECK all that apply:			
	X	a) The estimated total development and acquisition cost exceeds the departmental cost threshold.[1]		
		b) A new system development or acquisition that is specifically required by legislative mandate or is subject to special legislative review as specified in budget control language or other legislation.[1]		
	X	c) The project involves a budget action.[1]		
		d) Acquisition of any microcomputer commodities and the agency does not have an approved Workgroup Computing Policy (WCP).		
		e) Electronic access to private information concerning individuals or entities by entities or individuals other than the entity responsible for data ownership or other entities authorized by law.		
		f) Installation or expansion of wide area network data communication facilities or services other than those acquired through contracts administered by the Department of General Services, or a State consolidated data center as defined in SAM Section 4982.		
		g) Development, acquisition or installation of technologies not currently supported by the department or not currently supported by a State consolidated data center.		
		h) Development and/or purchase of systems to support activities as defined by the DOIT's Enterprise Systems Report.[2]		
		i) Acquisition or upgrade of a multi-user central processing unit, except for previously approved projects as defined under SAM 4819.2, or servers being used only for departmental Office Automation functions		

[1] The DOIT will forward a copy of the FSR meeting these reporting criteria to the Department of Finance (DOF).

[2] The DOIT will forward a copy of the FSR to the DOF's (CALSTARS Unit) if it is determined the business case or proposed solution is related to financial accounting systems.

INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE
SECTION D: PROJECT SCHEDULE

Project #	
Date Rec'd	
Doc. Type	

MAJOR MILESTONES		
	Description	**Planned Delivery Date Relative to Project Start**
1.	Planning, Architecture, Requirements Refinement	+18 months
2.	Design Initiation Checkpoint/Statement of Work	+24 months
3.	Preliminary Design Review	+28 months
4.	Critical Design Review	+29.5 months
5.	Development Initiation Checkpoint	+30 months
6.	Code Complete / Test Readiness Review	+34 months
7.	Test Initiation Checkpoint	+34 months
8.	Test Completion Review	+36 months
9.	Implementation Checkpoint	+36 months
10	Final Acceptance	+36 months
11	Project Closeout	+42 months

KEY DELIVERABLES		
	Description	**Planned Delivery Date Relative to Project Start**
1.	Software Requirements Specification	+14 months
2.	Project Management Plans	+25 month
3.	System and Acceptance Test Plans	+28 months
4.	System Design Documents	+30 months
5.	System Test Description	+34 months
6.	Training Plan	+34 months
7.	System User Manual	+34 months
8.	System Test Summary Report	+36months
9.	System Acceptance Test Summary Report	+36 months
10	Post Implementation Evaluation Report	+54 months

INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE
SECTION E: BUDGET INFORMATION

Project #	
Date Rec'd	

Budget Augmentation Required?		
No		
	X	If YES, indicate fiscal year(s) and associated amount:

FY 01/02	FY 02/03	FY 3/04	FY 04/05	FY 05/06
$0	$0	$5,344,677	$1,665,440	$-5,120,952

PROJECT COSTS

1.	Fiscal Year	Data for this section will be derived from the EAW — TOTAL
2.	One-Time Cost	
3.	Continuing Costs	
4.	TOTAL PROJECT BUDGET	

SOURCES OF FUNDING

		FY 01/02	FY 02/03	FY 03/04	FY 04/05	FY 05/06	
5.	General Fund	$361,000	$361,000	$3,033,338	$3,866,058	$1,305,583	$
6.	Redirection						$
7.	Reimbursements						
8.	Federal Funds	$361,000	$361,000	$3,033,338	$3,866,058	$1,305,583	$
9.	Special Funds						$
10.	Grant Funds						
11.	Other Funds						
12.	NET PROJECT BUDGET	$	$	$	$	$	$

PROJECT FINANCIAL BENEFITS

13.	Cost Savings/Avoidances	Data for this section will be derived from the EAW
14.	Revenue Increase	
15.	Net (Cost) or Benefit	

Note: The totals in Item 4 and Item 12 must have the same cost estimate.

Project #	
Date Rec'd	
Doc. Type	

VENDOR FSR COST

Vendor Cost for FSR Development	$201,648
Vendor Name	Logicon

VENDOR PROJECT BUDGET

1.	Fiscal Year	FY 01/02	FY 02/03	FY 03/04	FY 04/05	FY 05/06	TOTAL
2.	Primary Vendor Budget	$	$	$2,612,534	$3,422,922	$	$
3.	Independent Oversight Budget	$	$	$538,397	$673,330	$252,499	$
4.	DOIT Oversight Budget						$
5.	TOTAL VENDOR BUDGET	$	$	$	$	$	$

----------(Applies to SPR only)----------

PRIMARY VENDOR HISTORY SPECIFIC TO THIS PROJECT

6.	Primary Vendor/Organization	N/A
7.	Contract Start Date	N/A
8.	Contract End Date (projected)	N/A
9.	Amount	$

PRIMARY VENDOR CONTACTS

	Vendor	First Name	Last Name	Area Code	Phone #	Ext.	Area Code	Fax #	E-mail

Project #	
Date Rec'd	
Doc. Type	

RISK ASSESSMENT

	Risk Assessment Model (RAM)	Score	Rating
1.	**Strategic Risk**	1.50	
2.	**Financial Risk**	1.67	
3.	**Project Management Risk**	N/A	
4.	**Technology Risk**	N/A	
5.	**Change Management & Operation Risk**	N/A	
6.	**OVERALL RISK SCORE**		

7.	**Date of current RAM**	April 8, 2002

		Yes	No
8.	**Has a Risk Management Plan been developed for this project?**	X	

General Comment(s)
The Risk Management Plan is included in Section 6 of the SPR and is consistent with the current and proposed maintenance and operations contract.

PROJECT PROFILE INFORMATION

1.	Implementation Approach:
	Purchase and Integrate
X	Vendor Development

	Project Type:
X	Application Development
X	Client Server
X	Database
X	E-mail/Messaging
X	LAN
X	Mainframe
X	Office Automation
X	WAN

2.	Project Type:
3.	Business Program/Practice:
	Asset Management
X	
X	
X	

4.	Outsourced Components
X	Application Development
X	Contract Manager
X	Database Design
X	Facilities Manager
X	Hardware
X	Independent Oversight
X	Telecommunications
X	Project Manager

	Outsourced Components (continued)
X	Quality Assurance
X	
X	
X	

4.	Outsourced Components (continued)
X	Systems Integrator

5.	Operating System:
X	Windows 2000, OS2, MVS

6.	Hardware Platform:
X	Intel Based Client-Servers, Host ES 9000,Parallel, Mainframe, Netfinity, Intel PC's

7.	Database Engine:
X	DB2

8.	Messaging Engine
X	MS Exchange, Client is Outlook, CICS

9.	WEB Server
X	TCP/IP, SNA,

10.	Development Tools
x	Doc Tools

11.	Network Protocols
x	LLC2 Network Protocols

CHILD WELFARE SERVICES/CASE MANAGEMENT SYSTEM
EXPANDED ADOPTIONS SUBSYSTEM

SPECIAL PROJECT REPORT

April 12, 2002

STATE of CALIFORNIA
The Health and Human Services Data Center
Systems Integration Division

TABLE OF CONTENTS

CHAPTER I - PROJECT BACKGROUND/SUMMARY

Project Objectives

On January 30, 2001, the California Department of Social Services (CDSS) was granted approval to implement the EAS to extend the functionality of the Child Welfare Services/Case Management System (CWS/CMS) and provide a full case management function in support of Adoption case workers. In the course of studying the business problems facing both the Adoptions program and the Adoptions case workers, the following issues were identified as key business issues affecting the delivery of Adoptive services in California:

- The CWS/CMS application fails to meet the federal requirements of Section 45 of the Code of Federal Regulations (45 CFR) - 1355.53 due primarily to lack of case management functionality for adoptions;
- The lack of case management functionality is a barrier to meeting the requirements of state and federal adoption and foster care laws;
- The lack of case management functionality compromises the state's adoption program data; and
- The existing adoption functionality is insufficient to meet the needs of children in foster care who must have permanency.

In response to these key business issues, the FSR was developed to address these issues in support of federal, state, CDSS, and county needs. The following key business objectives were identified for the EAS:

- To ensure that all federal and state laws, regulations, policies and procedures are met, that incentives are received, and that penalties are avoided;
- To ensure the state has access to accurate data that will enable it to assess how and how much the statewide adoptions program is improving permanency outcomes for children in foster care;
- To improve overall service delivery in the adoptions program statewide;
- Meet system requirements (as defined in Appendix B of the FSR);
- Improve statewide adoption program administration, including quality assurance;
- Improve assessment for matching and placement of children and families to expedite permanency;
- Improve adoption caseworker efficiency;
- Improve delivery of services for children and families;
- Allow data sharing between Child Welfare Services and Adoptions programs;
- Maintain confidentially between Adoptions and Child Welfare cases to meet statutory and regulatory requirements; and
- Capture federal Adoption Incentive funds.

Project Status

In July 2001, funding for the first year of the project provided 3.0 full-time Personnel Years (PYs) and one full-time equivalent contract position in support of the project initiation efforts for EAS. The first year tasks as identified on page 6-17 of the FSR were:

- Project and Procurement Planning;
- Requirements Refinement; and
- Preparation of State and Federal Planning Documents.

At the start of the year, the recruiting process was initiated to fill the 3 PY's in preparation to initiate the first project tasks. During the course of recruiting, a state-hiring freeze was ordered by Executive Order, which resulted in delays in staffing the state positions allocated to the project. The first of these three positions was filled in January 2002. As of March 2002, recruiting continues for the two additional positions.

With one position filled, the project entered into a contract to fill the System Architect contract position identified to assist the EAS project team with the requirements and procurement process. After preparing an initial project plan, project staff began work on the requirements refinements necessary to enter into the procurement process.

The requirements refinement process started with the requirements identified within the approved FSR, and analyzed the requirements to consider how to proceed with the procurement process. The goal of this analysis was to determine the degree of "overlap" with CWS/CMS, and understand whether EAS should be built as an integrated portion of CWS/CMS, or as a separate application. Each requirement was analyzed versus the current CWS/CMS system to determine how many requirements could either be partially, or completely, met by the functionality currently in the CWS/CMS. In addition, the team conducted analysis of the CWS/CMS data model, and compared the elements of the CWS/CMS to the data elements necessary to meet the requirements of the EAS FSR.

The results of this analysis indicated approximately 50 percent of the requirements of the EAS are partially met by the CWS/CMS. In addition, over 80 percent of the data elements necessary to implement EAS already exist in the CWS/CMS. This degree of commonality between system requirements confirms the notion that the Adoptions and Child Welfare business processes and systems are tightly linked. This analysis yielded a strategy that the EAS move forward as an integrated component of the CWS/CMS, rather than as a separate system that would require the EAS to bear the additional cost of building and implementing all of the functionality that already exists in the CWS/CMS. Initial analysis of these additional costs indicates that an EAS system implemented as a separate system from the CWS/CMS would no longer be cost beneficial to pursue.

While the EAS requirements were being refined in preparation to engage a vendor, a Budget Change Proposal (BCP) was prepared (HHSDC-11) to increase funding and staffing to the level of support identified for FY 2002/03 of the EAS project. However, the Budget Act of 2002/03 contains funding for FY 2002/03 at the same level as was available in the Budget Act of 2001/02. Additionally, the Budget Act of 2001/02 lacked the funding for CDSS staff as part of EAS, impacting the CDSS ability to provide Adoptions program expertise in support of the project while also continuing to support ongoing Adoptions program responsibilities.

The EAS project team, including the CWS/CMS and the CDSS staff, has assessed the impact of the requirements analysis, available staffing, and projected funding on the project. This assessment led to the changes presented in this SPR.

Prior Changes Approved

No prior changes have been proposed or approved since the January 30, 2001 approval of the EAS FSR.

CHAPTER II - DESCRIPTION OF PROPOSED CHANGES

This SPR proposes a change in schedule and project management plan to accommodate delays in hiring state staff due to the hiring freeze and reduced project funding within the 2002/03 Budget Act. This proposed change extends the project schedule by 9 months, extending the project end date from FY 2004/05 to FY 2005/06. This change continues the FY 2001/02 budget through FY 2002/03, delaying the start of the implementation phase of the project from FY 2002/03 to FY 2003/04.

The business benefits, goals, objectives, and project scope are not altered by this proposed change. The proposed change alters the project management approach and schedule for the project. The proposed change is further described as follows:

- *Modify the project schedule in recognition of staffing and funding levels below those planned for the project.*

The EAS remains a key priority for CDSS to maximize the positive outcomes for children of adoptive services and fully meet the federal Statewide Automated Child Welfare Information System (SACWIS) requirements. The CDSS and the Health and Human Services Data Center (HHSDC) remain committed to achieving these program improvements. The proposed project schedule is extended from 3.75 years to 4.5 years. The updated project plan incorporates this change and is represented in the Project Summary Package and Attachment E – Updated Project Management Plan.

- *Utilize the key skills and experience of the CWS/CMS staff to achieve project progress in FY 2002/03.*

While executing periodic maintenance tasks associated with the CWS/CMS, state staff are required to analyze new or modified requirements of the CWS/CMS system. As a portion of this work, the standard work product expected from state staff and provided to the Maintenance & Operations (M&O) vendor is the Requirements Specification document. Over the years of supporting the CWS/CMS users, state staff has become experts at analyzing the system and developing these documents in a manner that clearly and concisely communicates system modifications.

The proposed change will leverage this unique expertise and skill within FY 2002/03 to produce the EAS System Requirements Specification (SRS) document. Originally, this work was to be conducted by the M&O vendor, with the assistance and expertise of the state available to guide the effort. This strategy takes responsibility for the SRS and places it with the state, where state staff have repeatedly proven proficient at completing this task. This results in a $248,000 reduction in the primary vendor budget planned for FY 2003/04 due to this shift in work from the primary vendor to the state.

- *Reduce the linkage to the current CWS/CMS M&O Procurement*

Within Section 6 – Project Management Plan (PMP) of the approved FSR, the following was stated:

> "The requirements for the EAS, as identified in this FSR, will be included in the RFP currently being conducted by the Health and Human Services Data Center to obtain a M&O contractor for the CWS/CMS….."

When written, this assumption represented a solid approach based upon the procurement schedule in place at the time. Considering the proposed change in schedule within this SPR, if the M&O procurement were to come to conclusion prior to July of 2003, the EAS project team could enter into a Statement of Work (SOW) with the new M&O vendor and proceed with EAS with minimal risk. However, the federal procurement delays in the M&O procurement have proven difficult to predict and create a significant risk of additional delay in the EAS project.

The proposed PMP addresses this risk, and continues with the assumption that the CWS/CMS M&O vendor should be utilized to develop the EAS due to the significant overlap in requirements between the EAS and the CWS/CMS. However, several key adjustments are made to address any risks associated with the coordination between the M&O procurement and the EAS project. These are as follows:

- Checkpoints are established within the project timeline. If an SOW is initiated for the EAS project with the current M&O vendor due to delays in the M&O procurement, these checkpoints will serve as stopping points to gauge the progress of the M&O procurement. The Oversight Steering Committee (OSC) and Project Director will ensure the coordination of these checkpoints;
- The SOW will have "ramp-off" clauses written in and aligned with each checkpoint. At each checkpoint, the state will have the right to assess the current state of the

M&O procurement and determine if a "ramp-off" should be taken to shift the project to a newly awarded M&O vendor; and
- If M&O transition becomes necessary at any checkpoint during the EAS project, the state will leverage the six-month transition period from the current to the new M&O vendor to ensure proper transition between vendors and minimize the disruption to the project.

It is important to note that the transition period identified in the preceding bullet is commonplace in the outsourcing of large IT operations. Any time this type of transition occurs, both vendor and client staff must carefully plan and construct a transition plan to transition basic system operations and procedures, as well as any work in progress, to a new outsourcing organization. As this type of transition occurs, we also recognize there are a number of subcontractors utilized by M&O vendors in the industry. In fact, a common risk mitigation strategy many outsourcing vendors engage in and depend upon is to hire the subcontractors from the prior M&O vendor as a means of further minimizing disruption. As this type of activity is common practice in the outsourcing industry, we believe the risk to the EAS project is mitigated in a manner that does not threaten project success. Should this transition become necessary due to timing, the EAS project team will work with the procurement team for the M&O procurement to construct a complete transition plan to account for all work in progress.

Throughout the project, the following key checkpoints are established and written into any SOW between each major phase of the system development life cycle:

- Completion of Requirements – Prior to Design;
- Completion of Design – Prior to Development;
- Completion of Development – Prior to Testing; and
- Completion of Testing – Prior to Implementation.

These checkpoints are reflected in the Project Summary Package and Attachment E – Updated Project Management Plan.
.

CHAPTER III – REASON FOR PROPOSED CHANGES

The proposed change to the project is required to account for the reduced funding available in the Budget Act of 2002/03 and the delays in hiring the state staff positions for the EAS project.

While coordination with the M&O procurement is an important project issue, both the CWS/CMS and the CDSS staff recognize that it can be managed with the introduction of specific terms into any SOW with the M&O vendor, and with proper oversight and review in place at the key checkpoints identified.

CHAPTER IV - JUSTIFICATION

One of the three staff positions has been filled, while exemption requests are outstanding for the additional two staff positions. This one position, combined with the consultant staff available through the EAS budget in FY 2001/02 and FY 2002/03, have made significant progress in defining system requirements in preparation for the FY 2003/04 project activities proposed in this SPR.

The EAS will be developed as a modification to the CWS/CMS system. The CWS/CMS was originally developed utilizing enhanced federal funding for one-time development costs under the Statewide Automated Child Welfare Information System (SACWIS) program. Following full implementation of the CWS/CMS, a comprehensive system audit conducted by the Administration for Children and Families (ACF) was conducted in August 1999 and a federal SACWIS Review Report was generated in December 1999. This report stated the CWS/CMS application does not meet the federal requirements of 45 CFR Section 1355.53. While the CWS/CMS has been operational on a statewide basis for several years, the CWS/CMS is still not complete in the view of ACF due to the issues cited in the SACWIS Review Report. Included are the Adoptions Case Management functions identified for implementation in the EAS.

A SACWIS that is not compliant with federal requirements risks a substantial repayment penalty of a portion of the SACWIS funds already expended -- the difference between 75 percent enhanced funds and regular SACWIS funding of 50 percent. With respect to CWS/CMS, this is estimated to be approximately $50 million. In addition, if the state does not document sufficient progress towards meeting the required SACWIS functionality requirements, the federal government may designate CWS/CMS as a non-SACWIS system. This would result in funding being reduced from the 50 percent SACWIS share to discounted Title IV-E funding, an estimated annual loss of approximately $16 million based upon CWS/CMS FY 2001/02 funding.

CHAPTER V - IMPACT OF PROPOSED CHANGE ON THE PROJECT

The proposed project change focuses on the project management schedule and alters several aspects of the project. The proposed change is limited to the project management schedule required to implement the EAS. No change is identified to the project goals, objectives or scope.

Project Schedule

The proposed project change will affect a nine-month delay in the overall project schedule, resulting in a vendor being engaged at the start of FY 2003/04, rather than at the start of FY 2002/03. In FY 2002/03, the minimal project team will focus its efforts upon requirements refinement, gaining approval from Administration of Children, Youth, and Families (ACYF), the Department of Information Technology (DOIT), and the

Department of Finance (DOF) to move forward with the project and production of a SRS. Please refer to the Project Summary Package and Attachment E – Updated Project Management Plan for the updated schedule.

Project Management Plan

The proposed project change will also affect the procurement portion of the PMP. The procurement plan will no longer assume the EAS system requirements will be added to the M&O procurement documents due to the federal procurement delays. This effort shifts to the development of an SOW with the M&O vendor, with the appropriate ramp-off points and transition plans in place to properly coordinate with the M&O procurement.

Economic Analysis/Project Funding Plan

The proposed project change will delay the need for the primary vendor budget from FY 2002/03 until FY 2003/04. The onset of the projected benefits to the state will also be delayed for approximately nine months due to the delay in the implementation of the system. Please refer to Section 6 – Updated Economic Analysis Worksheets (EAWs). Please note that several updates and corrections to the EAWs are included in this section to account for other changes not related to the Project Management Change proposed in the SPR.

Risk Management Plan

The Risk Management Plan is updated to reflect the budgetary and procurement management issues cited previously. In addition, the DOIT Risk Assessment Model (RAM) is updated to reflect the current factors affecting the project.

CHAPTER VI - IMPLEMENTATION PLAN

As of January 2002, the project team had just begun to achieve significant progress towards completing the requirements refinement steps as originally planned. With just a core team dedicated to the EAS project, these resources were refocused in recent months to assess the impact of the budgetary decisions on the project. That assessment is now complete and work will return to the requirements refinement. Implementation of this plan can be done immediately with no impact to current activities.

The chart of tasks and milestones is included within Attachment E – Updated Project Management Plan.

CHAPTER VII – UPDATED PROJECT MANAGEMENT PLAN

The PMP is based primarily on the best practices and conventions currently in use at the CWS/CMS project site. The HHSDC will utilize the existing methods and processes for maintaining the CWS/CMS at the time of project initiation to manage the EAS project. The CWS/CMS Project Director from the HHSDC will be responsible for project and contract management.

This PMP has been developed to provide the HHSDC (CWS/CMS) with the capability to oversee the successful completion of the Design, Development, and Implementation (DD&I)[1] of the EAS. The HHSDC will utilize qualified private vendors to perform selected activities of the project, including the CWS/CMS M&O Contractor and an Independent Verification and Validation (IV&V) Contractor.

The basis for the Statement of Work to be negotiated with the CWS/CMS M&O vendor will be the EAS FSR, as approved by DOIT, DOF, and CDSS, and the SRS deliverable to be developed by the state during FY 2002/03. The SRS will detail the specific system needs, based upon the subject matter expertise of CDSS and county adoptions staff, and the experience of the state staff in writing requirements documents associated with the CWS/CMS system. As the project team approaches the checkpoint established at completion of the SRS, the project team will assess the status of the M&O procurement for the first checkpoint. Prior to reaching the checkpoint, and allowing enough time to develop an SOW, the checkpoint assessment will result in one of two actions:

- Proceed with an SOW with the current M&O vendor. This will occur if further delays in the M&O procurement would result in further unnecessary delays to the EAS project; and
- Negotiate an SOW with the new M&O vendor. This will occur if the M&O procurement is in its final stages and is expected to reach contract award within four months, the period of time expected for the Design phase of the project prior to the next checkpoint.

At each checkpoint, a similar process will be used. In subsequent checkpoints, the state would either proceed to the next step of the project, or invoke the ramp-off to transition to a new M&O vendor. In all circumstances, prior to engaging any services from an M&O vendor for DD&I, the vendor will submit a development PMP specifying the approved standards and procedures for the project. The CWS/CMS Project Director will use the state-approved PMP to manage the successful completion of the project.

PROJECT MANAGER QUALIFICATIONS

[1] From this point, the term DD&I vendor is used interchangeably with M&O vendor. It refers to the M&O vendor engaged under the EAS SOW at any point in time and does not refer to any specific vendor.

The CWS/CMS Project Director is responsible for overall project management. The Project Director will be the primary interface between the project team and the other entities involved in the project. The Project Director will be:

- Thoroughly familiar with the business requirements of the CDSS and its organizational capabilities, particularly the CWS/CMS system and the adoptions program;
- Experienced in managing sub-contracted development efforts;
- Capable of identifying key issues or concerns during the design, development & implementation phases;
- Capable of directing the efficient resolution of issues; and
- Capable of providing timely and accurate guidance and support to the CDSS staff as well as the DD&I and IV&V vendors' management and staff, as required to fulfill the stated objectives of the project.

Consultant services may be used to augment this position at critical points such as during project initiation and planning phases and implementation.

The DD&I vendor's project manager must be a senior level project manager experienced in the development and implementation of systems with characteristics similar to the proposed solution, and the CWS/CMS system.

The IV&V vendor's project manager must be a senior level project manager experienced in the IV&V processes and procedures for overseeing the development and implementation of systems with characteristics similar to the proposed solution.

PROJECT MANAGEMENT METHODOLOGY

The HHSDC Project Office Model will be used in developing the Project Management Methodology. The HHSDC Project Office Model promotes re-employment of proven project management processes to minimize project risk and improve IT management across the system development lifecycle. The HHSDC Project Office has developed standards, practices and tools to:

- Accurately and clearly define and manage system requirements;
- Guide the selection of a qualified vendor to design, develop and maintain the system based upon best value to the state;
- Continually monitor project cost, schedule and technical progress of the vendor throughout the project lifecycle;
- Systematically test and/or evaluate work products before acceptance;
- Proactively manage risk;
- Effectively plan application implementation;
- Minimize disruption in the organizations receiving the new/enhanced system;
- Provide effective business process re-engineering;
- Properly train the receiving organization;

- Prepare the receiving organization infrastructure for the new system;
- Continually communicate with all stakeholders;
- Efficiently resolve project problems/issues; and
- Properly close a project and document the lessons learned for future use.

Employment of the standards, practices and tools promotes the success of the public sector IT project manager throughout the software development lifecycle.

Project Tracking

The objectives of the EAS are set forth in the approved FSR for the EAS. The CWS/CMS project management will utilize the PMP and the SOW with the DD&I vendor as the vehicles for tracking the status of the technical and managerial processes necessary to satisfy project objectives. The CWS/CMS will require that the selected DD&I and IV&V vendors provide scheduled status reports for management and staff identifying the tasks for the period, including issues or questions that must be addressed or have been addressed since the last status review.

Project Meetings

Scheduled and ad hoc project status meetings provide an opportunity for all parties to understand project status, to discuss issues or concerns and to coordinate plans for upcoming reviews or other project activities. In addition, the DD&I vendor and the selected IV&V vendor will maintain regular communication with the CWS/CMS management and/or its stakeholders external to the HHSDC, to clarify or identify information required for the completion of project deliverables.

Project Status Reports/Schedule Updates

To foster timely and meaningful communication among all project teams, a written management status report will be submitted, on the first working day of each month, to the CWS/CMS Project Director by the DD&I and the IV&V vendors. The DD&I vendor status report will include the following components:

- Summary of accomplishments and earned value;
- Key issues and / or questions and proposed tasking;
- Objectives for the coming period and proposed tasking;
- Updated Risk Management Status; and
- Updated Project Schedule, including status of deliverables.

The IV&V vendor status report will include the following components

- Summary of accomplishments;
- Key issues and / or questions with regard to project and DD&I vendor progress;
- Objectives for the coming period and proposed tasking; and
- Summary of hours and costs by period and to date for IV&V.

The Project Schedule will be updated weekly to allow project members to anticipate and plan for project tasks and resource requirements, including identifying possible conflicts in resource availability.

Risk Management

Attachment F - Updated Risk Management Plan, of this SPR, documents the processes and procedures that will be utilized to manage project risks.

Project Deliverables/Review

The set of project deliverables to be developed and submitted by the DD&I vendor to the CWS/CMS Project Director for review and acceptance is derived from the Institute of Electrical and Electronic Engineers (IEEE) Software Engineering Standards.

The deliverables are listed in Table 1 – Implementation Deliverables and Responsibilities on the following page. Time will be allocated in the project schedule for deliverable review, revision and acceptance. The achievement of project milestones and completion of deliverables will be documented in writing to the CWS/CMS Project Director.

The IV&V vendor or the project Quality Assurance (QA) staff will perform critical risk assessment and verification and validation of all life cycle processes, reviews, and deliverables for the DD&I vendor and/or the state.

All review processes will begin with a detailed walkthrough of each deliverable. The walkthrough will be conducted by the developer and will include the responsible CWS/CMS management and staff and other project members, as appropriate. The walkthrough provides the basis for a clear understanding of the content of the deliverable and provides CWS/CMS staff with the opportunity to quickly resolve questions or concerns with the product.

If revisions to deliverables are required, the description of the changes required must be provided in writing to the party responsible for the deliverables, within the designated review period. Approval of each deliverable by CWS/CMS will be in the form of an approval memo addressed to the party responsible for the deliverable.

Table 1 – Implementation Deliverables and Responsibilities

Integration Vendor Deliverables	State Responsibilities

Requirements Phase	
• None	Requirements Phase Project Plan System Requirements Specification (SRS)
Contract Initiation Phase	
• Project Management Plan (PMP) • Configuration Management Plan (CMP) • Quality Assurance Plan (QAP)	Approval of Vendor Plan Approval of Vendor Plan Approval of Vendor Plan
Design Phase	
• System and Acceptance Test Plans • System Design Document (SDD) • Interface Design Document (IDD) • Database Design Document (DBDD) • System User Manual (SUM) • Preliminary Design Review (PDR)	Approval of Vendor Plans Review Vendor Design Document Review Vendor Design Document Review Vendor Design Document Approval of Manual Approval to Proceed to Final Design
Implementation Phase	
• Critical Design Review (CDR) • System Test Description (STD) • Training Plan • Test Readiness Review (TRR)	Approval to Proceed Review Vendors Test Documents Approval to Proceed Approval of Test Descriptions or Scenarios
Test Phase	
• System Test Summary Report (STR) • Test Completion Review	Results Review (RR) Results Review (RR)
Installation and Checkout Phase	
• System Acceptance Test Summary Report	Approval of Test Results
Post Installation Phase	
• None	Post Implementation Evaluation Report

PROJECT IMPLEMENTATION SCHEDULE

The project schedule included in Table 5 sets forth a high level schedule for the proposed solution to fulfill the project objectives and requirements. This schedule will be updated by the DD&I vendor immediately following initiation of an SOW.

PROJECT ORGANIZATION

The project team will be comprised of a designated and qualified project director, representative(s) from executive management, and program representatives. The Roles and Responsibilities section follows and illustrates the composition and responsibilities of the EAS Project Team based on the current CWS/CMS project organization and represents the proven best practices in place with the Systems Integration Division (SID) of the HHSDC. The team organization presented is intended to provide the skill sets and responsibility coverage necessary for project success.

The process model for managing the successful completion of the design and development tasks and the implementation of the EAS functionality with the M&O vendor will be delineated in the vendor-developed PMP deliverable. This deliverable will contain a schedule to identify the timing and dependencies for each major milestone and work activity, including deliverable reviews and approvals.

Organizational Structure

The primary responsibility for the management of the day-to-day activities related to the EAS project rests with the CWS/CMS Project Director, the HHSDC and the CDSS executive management who are ultimately accountable for the project's success or failure. To provide for proper executive management oversight and support, the OSC established within the current CWS/CMS Organizational Structure will provide executive level support and oversight to the project. The committee meets monthly to review overall project status and to review significant risk issues. The committee has the final authority to authorize changes to project scope, schedules or resources.

Figure 1 on the following page depicts the OSC and its relationship to oversight agencies, the CWS/CMS project team, the DD&I and the IV&V vendors. The figure illustrates direct lines of communication using solid line indicators. Indirect reporting relationships are indicated by a dotted line.

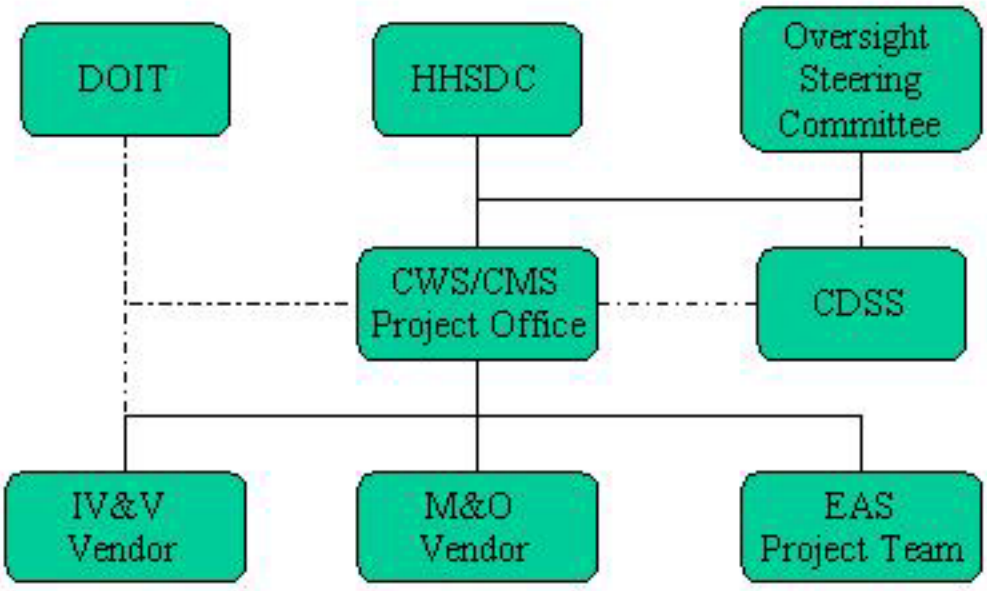

Figure 1 – Expanded Adoption Subsystem Project Organization Chart

Organizational Boundaries and Interfaces

The primary interface positions in the EAS Project Team organization are the CWS/CMS Project Director, the Project Sponsor from CDSS, the DD&I vendor Project Manager and the IV&V vendor Project Manager. The individuals to fill these positions will be identified prior to entering into an SOW. The CWS/CMS Project Director will be responsible for coordinating and/or authorizing communication with other state organizations, data providers and data users in support of this project. Additionally, the CWS/CMS Project Director is responsible for assuring that all tasks and support responsibilities of the data center are fulfilled as scheduled. The CWS/CMS Project Director is responsible for representing the data center in all matters related to the EAS project.

The DD&I vendor is responsible for completing all tasks in accordance with the procurement agreement. The DD&I vendor will report directly to the CWS/CMS Project Director.

The IV&V vendor will be responsible for completing all verification and validation activities in accordance with the SOW negotiated during the vendor procurement process. The IV&V vendor will report directly to the CWS/CMS Project Director and maintain a dotted line reporting relationship to the DOIT and the OSC.

PROJECT PRIORITIES

The project resources are constrained due to the use of existing and incremental CWS/CMS project organizations and processes, and the future M&O vendor. The project schedule is classified as accepted in that the timing and implementation of the EAS is dependent on fielding a useable and complete system. Finally, the project scope is classified as improved due to the flexibility and continuing definition of the necessary adoption subsystem and changing state and federal directives.

The CDSS executive and program management has established the objectives for EAS as described in Section 3.3 of the approved EAS FSR. The primary objective is to implement and operate a comprehensive adoptions case management subsystem within the CWS/CMS that complies with the directions and schedules set forth in federal and state directives. Those directions emphasize improving the services to children and families while promoting concurrent planning between adoptions and child welfare casework.

PROJECT PLAN

Project Scope

Requirements for the EAS of the CWS/CMS have been identified to satisfy the objectives set forth in Section 3 of the approved EAS FSR, as well as the stated objectives of the CDSS management to improve the quality of its products and services. This will result in the provision of the full range of adoption supportive services, including required forms and reports, and a single source to record and track each step of the adoptions process.

Project Parameters

Table 3 – Assumptions, Dependencies & Constraints sets forth the assumptions on which the project is based, the external events the project is dependent upon, and the constraints under which the project is to be conducted.

Table 3 – Assumptions, Dependencies & Constraints

Assumptions	Description
System Performance	The EAS will not have an adverse effect on CWS/CMS performance to the point of negatively impacting the CWS/CMS business programs or personnel efficiency.
System Development	The M&O Vendor associated with CWS/CMS will conduct the system development. The state will have the right to transition development from the current M&O vendor to a newly awarded vendor, should the M&O procurement reach conclusion during the EAS project.
Dependency	**Description**
Confidentiality	Confidentially issues will be sufficiently resolved to proceed.
Resources & Funding	BCPs will enable the allocation of sufficient resources for successful completion of the project within the desired schedule. Adequate funding will be secured to develop the complete proposed system.
Constraints	**Description**
Existing Contracts	The Implementation vendor will also be the CWS/CMS M&O vendor.
System Architecture	The EAS must be developed within the current CWS/CMS architecture.

Project Phasing

The proposed solution will be implemented in a single iteration of the system development life cycle (e.g. not in multiple releases), consistent with maintaining the current CWS/CMS functionality, availability and reliability.

The deliverables and milestones included in the project process flow, together with the entity responsible for development, review and approval, are shown in Table 1 – Implementation Deliverables and Responsibilities.

Roles and Responsibilities

Successful completion requires a mix of skilled resources from the state. The CWS/CMS management and key staff will have the ability to perform the following:

- Direct the development of required documentation to support the DD&I and the IV&V vendor procurement process;
- Conduct the review and evaluation of the submitted proposal and any negotiations necessary before execution of the DD&I and IV&V contracts;
- Define the functional and detailed requirements that must be satisfied by the proposed solution;
- Actively participate in the review and acceptance of the deliverables developed by the DD&I vendor;

- Participate in the definition and execution of test scenarios to validate the system functionality and integrity;
- Direct the development or revision of policy and operational procedure manuals as required by the proposed solution; and
- Accept the completed system.

The DD&I vendor will be required to staff the project with a variety of management, clerical and technical staff. A senior project manager, experienced in the development and implementation of systems with characteristics comparable to the proposed solution (CWS/CMS), must be identified in the proposal and subsequently assigned to direct the efforts of the vendor staff.

The IV&V vendor will be responsible for conducting oversight and validation of the activities and accomplishments of the project team. The IV&V vendor will validate that all requirements are fulfilled and that the DD&I vendor and the state meet all contractual obligations. The IV&V vendor must provide senior staff experienced in the IV&V processes and procedures for completing the IV&V tasks for projects similar to the proposed solution. All IV&V tasking and deliverables will be in accordance with American National Standards Institute/Institute of Electrical and Electronic Engineers (ANSI/IEEE) Standard 1012-1998, IEEE Standard for Software Verification and Validation (V&V).

The specific roles and responsibilities for the EAS project team are listed in the following pages. This lists the key management and staff classifications and their responsibilities in support of the project.

Table 4 EAS Project Team Roles and Responsibilities

Project Director (Deputy Director)

- Direct and coordinate customer and stakeholder communications
  - ⇒ Participate as member of Department Executive Staff
  - ⇒ Communicate with the Legislature and Federal Government
- Direct management staff and project activities.
  - ⇒ Direct project planning activities.
  - ⇒ Oversee project office organization and staffing.
  - ⇒ Oversee project tracking and metrics tracking.
  - ⇒ Oversee and participate in risk management.
  - ⇒ Oversee and participate in issue resolution.
  - ⇒ Monitor IV&V effort.
- Negotiate prime contract.
- Approve and accept work products.
  - ⇒ Provide final approval for all project work products.
  - ⇒ Provide final acceptance for all project consultant and prime contractor deliverables.

- Participate in change control board decisions.
- Perform contingency planning.

EAS Project Manager (Data Processing Manager II)

- Assist Project Director.
- Develop and coordinate the Project Charter.
- Manage the development and maintenance of project planning documentation.
- Direct and coordinate internal project activities.
  - ⇒ Direct project planning.
  - ⇒ Direct project office organization and staffing.
  - ⇒ Direct project tracking and metrics tracking.
  - ⇒ Coordinate problem identification and resolution activities between prime. contractor, customer, and project staff.
  - ⇒ Direct and participate in risk management and contingency planning.
  - ⇒ Direct Quality Assurance.
- Prepare Project Management Reports.
- Prepare reports for legislature.
- Prepare periodic status reports.
- Respond to special requests from federal and state control agencies
- Attend planning and management meetings.
- Review work products.
  - ⇒ Provide final review for all project work products before Project Manager approves.
  - ⇒ Provide final review for all project consultant and prime contractor deliverables before Project Manager accepts.

Office Technician

- Provide secretarial support.
- Answer and direct phone calls.
- Schedule and maintain project manager(s) calendars.
- Maintain status reporting schedules to assure project reporting obligations are met.
- Prepare draft correspondence for project manager.
- Prepare presentations.

System Architect (Consultant)

- Not a managerial position.
- Ensure the technical and business solution addresses the problem.
- Provide final recommendation for technical decisions.
- Serve as chief technical advisor to the EAS Project Manager.
- Define system quality attributes (capacity, availability, maintainability, etc.)
- Develop validation strategy for requirements and system.
- Verify requirements feasibility.
- Verify design feasibility.

- Monitor system engineering activities.
- Provide technical expertise during procurement.
- Advise the change control board.

Project Plan Manager (Staff Information Systems Analyst)

- Build and maintain project schedule.
- Track progress against project schedule.
- Track progress of prime contractor against schedule.
- Produce appropriate schedule and resource progress reports.
- Receive and log deliverables from project consultant contracts.
- Track deliverables through the review process.
- Coordinate notification and resolution of deliverable deficiencies.

EAS Procurement Support

SOW Requirements Manager (Staff Information Systems Analyst)

- Review statement of work development schedule and work plans.
- Serve as single point of contact for the M&O vendor for CWS/CMS in all EAS-related matters.
- Coordinate and manage development of the EAS SOW.
- Negotiate all SOW terms with the M&O vendor.
- Develop and review all components of the EAS SOW.
- Provide oversight to the Systems Engineering Manager.
- Participate in preparing briefing documents for the EAS Project Manager.
- Coordinate all SOW activity with the M&O procurement effort.
- Perform final SOW edit before approval.
- Participate in the evaluation of proposals and selection of vendor.

System Engineer (Consultant)

- Prepare technical portions of the SOW.
- Contribute to the Proposal Evaluation Plan.
- Develop reports for the QA staff person.
- Participate in change control board decision-making.

EAS Project Staff

Subject Matter Experts (Associate Information Systems Analyst) (2)

- Review current and pending state and federal legislation related to the child welfare and adoptions programs for impact to the proposed design.
- Participation in the Joint Application development (JAD) Teams on software development effort.
- Attend and/or facilitate stakeholder meetings.
- Develop reports and briefings for the management team of the CWS/CMS as needed.

- Participate in the initial review of all vendor work products.

Implementation Plan Manager (Consultant)

- Convene and facilitate work groups of county EAS implementation managers.
- Provide input to the vendor implementation team based on county and state implementation meetings.
- Provide expert consultation services to the field staff of the CWS/CMS (System Support Consultants).
- Review proposed implementation plans proposed by the vendor and make recommendations to the EAS Project Manager.

Test Engineer (Staff Information Systems Analyst)

- Develop business scenarios consistent with adoptions business processes.
- Review and refine business scenarios as new functionality is added to the application.
- Participate in application integration and system testing.
- Participate in the development of test schedules and plans.
- Provide support for county test activities.
- Plan and participate in user acceptance testing.
- Evaluate user documentation during testing.
- Update the Problem Tracking System (PTS), an internal change control tool.

Training Coordinator (Staff Information Systems Analyst)

- Consult with self-training counties for strategies for training approaches and uniformity for EAS.
- Review and approve all vendor training products and curriculum.
- Conduct beta testing for all training products and services prior to EAS release.
- Coordinate regional CWS/CMS user groups and county training programs.
- Participate in the assessment of county training needs.
- Provide oversight of vendor technical environment including host training region and test case loads and refreshes.
- Act as functional system expert to and coordinate with the fourteen California schools of social work.

System Support Consultants (Associate Information Systems Analyst) (2)

- Document current business processes and assist the counties to assess the impact of system changes.
- Advise the counties on Best Practice in Transition Planning.
- Advise the counties on change requests the adoptions area and their status.
- Consult with counties on the continued analysis of data quality and work with the counties at the regional level to develop consistent strategies for data conversion.
- Work with the counties to develop Business Process Re-engineering plans which will assist counties to integrate the EAS effectively in to their local Adoption Program business structure.

EAS Administrative Support

Financial Analyst (Associate Governmental Program Analyst)

- Assist in the development and preparation of SPRs, BCPs and Advanced Planning Documents (APDs), which ensure continued federal and state funding participation and approval.
- Manage contracts and contract amendments to secure services of technical staff
- Monitor contractor activities.
- Provide input to the procurement process as required.
- Develop CWS/CMS related budget data

EAS IT Support

Configuration Manager (Staff Information Systems Analyst)

- Prepare Configuration Management Plan
- Control configured items
- Conduct configuration control boards
- Report status of configuration items
- Backup and archive configuration records
- Dispose/transfer records at completion of project (with Project Librarian)
- Monitor prime contractor Configuration Management activities
- Monitor user Configuration Management activities
- Monitor project hardware, software and desktop inventory and configuration
- Coordinate configuration management activities with other parts of the EAS Project

EAS External Support

IV&V (Consultant)

- Provide independent perspective for reviews, meetings and evaluations
- Prepare status reports mandated by DOIT
- Monitor project activities
- Evaluate prime contractor's proposals for technical feasibility
- Evaluate prime contractor's work products for correctness and completeness
- Monitor prime contractor's test program
- Validate adequacy and appropriateness of test procedures
- Verify requirements traceability

Program/Customer Organization CDSS Representatives

- Provide business and program policy expertise
- Ensure the business needs of the program are represented
- Ensure M&O activities comply with program policies
- Evaluate system changes for compliance with program policies
- Analyze legislation for business/program impacts

Executive Customer Liaison

- Assist in Stakeholder communication
- Represent user interests to project
- Communicate high-level project goals to users
- Participate in planning and management meetings

Other Stakeholders

- Department of Information Technology (DOIT)
- Department of Finance (DOF)
- Department of Finance/ Technology Investment Review Unit (DOF/TIRU)
- California Health and Human Services Agency (CHHS)
- Federal Agencies
- Customer (Department of Health Services (DHS), CDSS), etc.)
- Legislature
- Advocates and Advisory Groups
- Other County Organizations (California District Attorneys Association (CDAA), California Welfare Directors Association (CWDA), etc.)

Project Management Schedule

The final project schedule and the resource requirements for completing each deliverable will be determined by the negotiated SOW and reflected in the vendor developed PMP. The CWS/CMS Project Director will use the vendor-developed plan to manage the completion of the project.

The following table provides a high level schedule for the CWS/CMS management, the EAS project team, the selected DD&I, and the IV&V vendors to follow for the timely completion of the project.

The final project schedule will be developed by the DD&I vendor to reflect the approved project detailed plans and required resources for project success. The final schedule will be available to all project managers and will be reviewed on a weekly basis at the project status review meetings.

Table 5 – High-Level Project Schedule

Item	Estimated Delivery
Project/Procurement Planning	4th Quarter – FY 2001/02
Completion of State/Federal Planning Documents	1st Quarter – FY 2002/03
Completion of Requirements Refinement	3rd Quarter – FY 2002/03
Completion of Requirements Checkpoint	1st Quarter – FY 2003/04
EAS Contract Amendment/SOW	1st Quarter – FY 2003/04
Approved Preliminary Design	1st Quarter – FY 2003/04
Develop Special Project Report (as needed)	2nd Quarter – FY 2003/04
Completion of Design Checkpoint	2nd Quarter – FY 2003/04
Approved Test Scenarios	3rd Quarter – FY 2003/04
Completion of Development Checkpoint	3rd Quarter – FY 2003/04
Approved Test Results	4th Quarter – FY 2003/04
Complete Acceptance Testing	1st Quarter – FY 2004/05
Completion of Testing Checkpoint	1st Quarter – FY 2004/05
Complete Implementation Phase – Project Closeout, M&O transition	2nd Quarter – FY 2004/05
Complete Post Implementation Evaluation Review (PIER)	2nd Quarter – FY 2005/06

The final project schedule will identify work packages that are further decomposed into a Work Breakdown Structure (WBS) for the identified project deliverables. The lowest level of decomposition is referred to as an activity and higher levels are referred to as activity groups. The numerical identifier for the work breakdown structure will be defined by the DD&I vendor. The identifier will allow the schedule user to relate a given activity to the work package and then the process or subsystem.

The final Project Schedule shall depict the dependencies and inter-relationships among project activities. The dependencies are a key element in the development of a realistic and achievable schedule. The dependencies may be the relationship of the completion of one activity to another activity, or it could be caused by a conflict in the availability of a particular resource.

PROJECT MONITORING

Periodic status reports, with the contents as defined in the Project Status Reports/Schedule Updates section, will be utilized for monitoring the status of project activities. The project schedule will be periodically updated by the DD&I vendor and available for distribution at the project status meeting. This schedule will minimally identify; key activities, responsible resources or resource group, estimated start and finish dates, actual start and finish dates, and percent completion. A Gantt chart will be included and will list key dependencies identified to date. The DD&I project manager will minimally review project performance with the CWS/CMS Project Director at least once a week. More frequent project reviews will be utilized only if circumstances warrant.

The Project Risk Assessment is included in Attachment F - Updated Risk Management Plan, of this SPR. Mitigation plans for each identified risk will be developed by the DD&I vendor. Responsibility for applying the risk mitigation will be determined as soon as possible to maximize risk avoidance. Potential risks will be evaluated on a weekly basis to allow reporting of significant increases in risk, or avoidance of previously identified risks. Risk mitigation status will be included as an essential element of the weekly project review meeting.

All project deliverables will be subjected to in depth review to assure they fulfill the business needs of the state. The review process is described under Project Deliverables/Review. The state will utilize the services of an IV&V vendor to perform the IV&V responsibilities. The IV&V vendor performs critical risk assessment of all project life cycle processes, reviews, and deliverables for both the DD&I vendor and the state. The IV&V vendor will submit a Software V&V plan, including required resources and project schedule dates, for state approval following contract award. All IV&V tasking and deliverables shall be in accordance with ANSI/IEEE Std. 1012-1998.

PROJECT QUALITY

The Project Management Methodology described in Attachment E- Updated Project Management Plan has been developed to assure the successful development and implementation of this project. The plan focuses on the continual and thorough review and acceptance of all deliverables, assuring the resultant product fulfills the stated objectives of CDSS management of improving the timeliness and quality of data and services made available to its users and customers.

The deliverables and milestones set forth in Table 1 – Implementation Deliverables and Responsibilities and the schedule of reviews and approvals comprise the software plan for the project. The software documentation will meet industry standards for the documentation type. The updated schedule will include adequate time for deliverable review, modification if required, and approval.

The DD&I vendor will be responsible for developing and administering the Software QA Plan and the Configuration Management Plan in accordance with the SOW. The

structure of the plans, resources and time required to complete these plans will be included in the DD&I SOW. The plans shall be developed in accordance with ANSI/IEEE Std. 730.1-1995 Guide for Software QA Planning, ANSI/IEEE Std. 828-1990 Standard for Software Configuration Management Plans, and the DOIT Project Management Methodology. The proposed schedule and resources required to develop the plans shall be included in the vendor developed PMP. The plans shall be delivered to the CWS/CMS management for review and approval in accordance with the updated project schedule. The IV&V vendor shall have responsibility for validating the plans and assuring that the procedures outlined in the plans are implemented and maintained for the life of the project.

The DD&I vendor will be responsible for development of comprehensive test plans. The test plans will exercise all system components to confirm their ability to interface and their inter-operability. The vendor will execute each test plan to confirm that automated processes conform to functional requirement specifications.

CHANGE MANAGEMENT

The basis for controlling and managing change during the term of the project is delineated in the SOW with the DD&I vendor, as well as in this SPR. The CWS/CMS Project Director in conjunction with the OSC is responsible for authorizing any changes to previously approved project scope, resources or schedules. The deliverable development and review process, wherein CWS/CMS managers and staff review and approve completed requirements documentation, assures the automated processes to be developed will fulfill the business needs of the state. The weekly review of the project status and the ongoing updating of the project schedule assure resources have been applied to changes and that the change will not impact scheduled project activities.

The DD&I vendor shall maintain all software documentation, delivered in support of this project, under version control. The DD&I vendor will be responsible for implementing approved Change Control Procedures for the duration of the project. The structure of the Plan and the resources and time required to develop the Plan will be included in the DD&I vendor proposal. The Plan shall be developed in accordance with the ANSI/IEEE Std. 828-1990 Standard for Software Configuration Management Plans and the DOIT Project Management Methodology. The proposed schedule and resources required to develop and implement the Plan shall be included in the final PMP following DD&I vendor contract award. The Plan shall be delivered to CWS/CMS management for review and approval in accordance with the updated project schedule.

The IV&V vendor shall have responsibility for validating the Plan and assuring that the procedures outlined in the Plan are implemented and maintained for the life of the project.

AUTHORIZATION REQUIRED

This project requires FSR/SPR and state funding approvals from the Department of Information Technology and the Technology Investment Review Unit, Department of Finance as stipulated by state information management policies governing project initiation and approval. The Advanced Planning Document Update (APDU) will also be approved by the ACYF.

CHAPTER VIII – Updated Risk Management Plan

RISK MANAGEMENT APPROACH

The Risk Management Plan sets forth a discipline and environment for identifying, analyzing and responding to project risks. To be effective, risk management must be an integral part of the way projects are managed. The process that the project team will use to manage project risks should be defined in the planning stage, be consistent with current M&O processes, and executed throughout the life of the project.

Risk identification consists of the determination of potential external and internal events that correspond to an additional overhead to the project. Not every risk is necessary to identify and track, but those that pose either a significant potential loss or a very high probability for impacting the system should be documented, assessed, and tracked. The risks documented in this SPR are a first level approach to risk identification for the project.

An appropriate risk management approach should take into consideration the following processes.

- **Risk Assessment:** the process of identification, analysis, quantification, and prioritization of risks.
- **Risk Response:** the actions taken to manage risk, such as risk avoidance, risk acceptance, risk mitigation, risk sharing and independent project oversight.
- **Risk Tracking and Control:** the process of monitoring risks and risk response actions to ensure that risk events are actively dealt with.
- **Risk Reserves:** the resources (cost, time and staff) allocated to manage risks.

Risk identification begins in the early planning phase of the project. The DOIT RAM and the Risk Management worksheet provide a framework for identifying and documenting project risks along with management factors to minimize risks. Risks are documented so that contingency measures can be taken to mitigate their effects. These documents will then be used to track and control risks and actions taken to effectively deal with the risk over the life of the project.

An identified risk should not necessarily be viewed in a negative light. All projects have associated risk. Identification, mitigation and management of risk factors lead to

successful projects. Denial of risk and lack of mitigation and management can result in serious negative consequences.

COMPLETED DOIT RAM REPORT

A copy of the completed RAM is attached as Attachment H.

RISK MANAGEMENT WORKSHEET

The Risk Management Worksheet (see Table 6) provides a display of risks identified to date and the key attributes or characteristics for each. The risk categories and events shown in these worksheets represent those that can be identified here in the planning stages of the project. This worksheet will require assessment at project startup to include newly identified risks and/or updates to existing risks. The risk events will then need to be evaluated for the following:

- **Loss Hours:** Indicates the expected increase in hours that will occur if the risk event occurs. At this time, estimated hours are not accurate and therefore a scale of Low, Medium, and High is used to categorize the loss hour potential. These values are translated numerically into approximate average loss hours associated with high risk versus medium and low risk. These estimates are summarized in the following table:

Risk	Loss Range	Average Loss	Average Loss Hours
High	7%+	8.75%	8300
Medium	3% - 7%	5%	4743
Low	0%-3%	1.25%	1186

- **Probability:** This field represents the likelihood of the event occurring.
- **Risk Hours:** This field represents the estimated risk for this event. The field is calculated by multiplying the loss and the probability fields.
- **Previous Risk Hours:** This field represents the value of risk hours reported in the previous period. A difference between this value and the current risk hours indicates a change in the risk status and is used to alert management that a change has occurred.
- **Preventive and Contingency Measures:** The next two columns document the planned preventive and contingency measures that could minimize the effect of the risk event. Numbers in these columns are references to the list of Preventative and Contingency Measures following the table.

- **Comments:** This column documents items such as a change in the value of risk hours from the previous period, management actions needed to contain risk, and status of preventive and contingency plans.

Table 6 – Risk Management Worksheet

Risk Category /Event	Loss Hours	Prob-ability	Risk Hours	Previous Risk Hours	Preventive Measures	Contingency Measures	Comments
Personnel							
Non-availability of Required Staffing (High)	8,300	.1	830	0	Plan for and establish availability		
Key Management Resource/Task Conflicts (High)	8,300	.2	1,660	0	Set organization priorities		
Software							
Install/delivery date slip (Medium)	4,743	.3	1,423	0	Confirm equipment & personnel as early as possible		
Logistics							
Multiple Sites (Medium)	4,743	.1	474	0			
Physical separation of team and customers (Medium)	4,743	.1	474	0	Customers to be part of the project team		
Other							
Coordination of strategic partners (High)	8,300	.1	830	0	Regular project status meetings		

Risk Category /Event	Loss Hours	Prob-ability	Risk Hours	Previous Risk Hours	Preventive Measures	Contingency Measures	Comments
Other							
Caseworker Transition Impacts (High)	8,300	.1	830	0	Plan for, and execute, regular communications and training		
Economic factors prevent budgeting for development of EAS in FY 2003/04. (High)	8,300	.2	1660	0	Identify and Develop additional business case elements in support of project.	Develop project in smaller, discrete steps with increased oversight. Allows for increased flexibility due to budgetary factors as well as M&O procurement.	
Maintenance and Operations Procurement finalized contract negotiations during the EAS project (High)	8,300	.2	1660	0	None	Plan Adoptions project to allow transition from current M&O vendor to new vendor. Ensure “ramp-off” points in SOW allow the state to transition the project contractually to the new vendor.	
Total Risk Hours	64,029		9,841	0			

NOTE: Previous Risk Hours are zero as project is in Concept Phase.

Key actions are required to ensure the risk management plan performs its project function. Responsibility will be assigned to organizations and individuals for the desired mitigation activities. Measures will be determined to monitor the effectiveness of the risk mitigation activities.

Assessment

The entire project team, including the CWS/CMS Project Team members, the DD&I vendor and the IV&V vendor, will be responsible for identifying project risks as early as possible. Once identified and documented, the risks will be subject to a project review process to determine whether the risks are properly identified and acceptable.

The project team will use various tools as aids to risk identification, and will analyze both internal (project controlled) and external potential risk areas. This will be an ongoing effort throughout all phases of the project.

Risk analysis will be a regular process, and it will encompass existing and new risks. This process determines the extent of the risk and documents the results of the analysis. Also, the project team will prioritize risks based on occurrence probability and estimated impact.

Risk Response

Once the risks have been analyzed, prioritized and documented, the project team will decide on the appropriate response for each risk. The type of action taken will be specific to each risk and may involve avoidance, acceptance or other risk mitigation activities.

Risk Tracking and Control

A fundamental part of the support of project progress is a formal risk documentation, tracking and control procedure. The risk processes will be documented in the vendor developed PMP and consistent with the current CWS/CMS project risk processes. Currently, the CWS/CMS project utilizes Risk Radar to conduct risk documentation, tracking and control within the CWS/CMS. These risk procedures will continue through the EAS project.

The risk procedures will be used to keep accurate, formal, records of risk analysis, mitigation actions and risk status. he reporting function will be based on risk priority, and will indicate statistics of risks resolved, new risks since last report cycle, and risks unresolved. The relationship of these statistics can be used as an indicator of whether risks are being successfully managed and if risks are being adequately controlled.

Regular project team meetings will be held to manage and control the process. Risk mitigation responsibility will be assigned to specific project team members who will report on progress during the review meetings.

Risk Reserves

The project budget, and potentially the project plan, will incorporate reserves for the effects of risk on the progress and scope of the project, and also the risk mitigation activities. The tools mentioned in Risk Identification above can assist in determining the extent of the reserves necessary.

ATTACHMENTS

ATTACHMENT A – Budget
ATTACHMENT B – Budget Comparison by Fiscal Year
ATTACHMENT C – Cost Allocation Plan (I'll put this together for EAS)
ATTACHMENT D – Economic Analysis Worksheets
ATTACHMENT E – Updated Project Management Plan
ATTACHMENT F – Updated Risk Management Plan
ATTACHMENT G – Completed RAM Report

ATTACHMENT A – PROJECT BUDGET

	SFY 01/02	SFY 02/03	SFY 03/04	SFY 04/05	SFY 05/06	SFY 06/07	TOTAL
One-Time							
Staff							
HHSDC	230,000	230,000	854,663	854,663	464,234	0	2,633,560
Consultants							0
Development	0	0	2,612,534	3,422,922	0	0	6,035,456
Project Mgmt	0	0	142,504	102,020	0	0	244,524
QA/IV&V	0	0	538,397	673,330	252,499	0	1,464,226
DOIT Oversight	0	0	0	0	0	0	0
Pricing Validation	0	0	253,023	0	0	0	253,023
System Engineer	400,000	400,000	306,059	0	0	0	1,106,059
System Architect	0	0	408,079	357,069	0	0	765,148
Conversion & Training	0	0	0	0	0	0	0
Processing	0	0	545,200	343,500	0	0	888,700
OE&E	51,000	51,000	247,217	247,217	233,548	0	832,190
Overhead	41,000	41,000	159,000	159,000	146,000	0	546,000
Facilities	0	0	0	0		0	0
Total One-Time Costs	722,000	722,000	6,066,676	6,159,721	1,096,280	0	14,766,678
Continuing							
Staff							
HHSDC	0	0	0	657,900	425,000	425,000	1,507,900
Consultants							0
Ongoing	0	0	0	446,336	336,624	336,624	1,119,585
Processing-Telecom	0	0	0	229,000	601,100	631,100	1,461,200
OE&E/Overhead	0	0	0	239,160	152,160	152,160	543,480
Total Continuing Costs	0	0	0	1,572,396	1,514,884	1,544,884	4,632,165
Total	**722,000**	**722,000**	**6,066,676**	**7,732,117**	**2,611,165**	**1,544,884**	**19,398,843**

ATTACHMENT B – BUDGET COMPARISON BY FISCAL YEAR

Budget Comparison by Fiscal Year

	2001/02			2002/03		
	Approved FSR	**Apr '02 SPR**	**Change**	**Approved FSR**	**Apr '02 SPR**	**Change**
One-Time						
Staff						
HHSDC	230,000	230,000	0	953,000	230,000	(723,000)
Consultants						
Development	0	0	0	2,829,700	0	(2,829,700)
Project Mgmt	0	0	0	140,800	0	(140,800)
QA/IV&V	0	0	0	531,960	0	(531,960)
DOIT Oversight	0	0	0	0	0	0
Pricing Validation	0	0	0	250,000	0	(250,000)
System Engineer	400,000	400,000	0	403,200	400,000	(3,200)
System Architect	0	0	0	302,400	0	(302,400)
Conversion & Training	0	0	0	0	0	0
Processing	0	0	0	545,200	0	(545,200)
OE&E	51,000	51,000	0	265,000	51,000	(214,000)
Overhead	55,000	41,000	(14,000)	236,360	41,000	(195,360)
Facilities	0	0	0	95,000	0	(95,000)
Total One-Time	736,000	722,000	(14,000)	6,552,620	722,000	(5,830,620)
Continuing						
Staff						
HHSDC	0	0	0	0	0	0
Consultants						
Ongoing	0	0	0	0	0	0
Processing	0	0	0	0	0	0
Overhead	0	0	0	0	0	0
Total Continuing	0	0	0	0	0	0
Total	**736,000**	**722,000**	**(14,000)**	**6,552,620**	**722,000**	**(5,830,620)**

Budget Comparison by Fiscal Year

	2003/04			2004/05		
	Approved FSR	Apr '02 SPR	Change	Approved FSR	Apr '02 SPR	Change
One-Time						
Staff						
HHSDC	952,980	854,663	(98,317)	522,222	854,663	332,441
Consultants						0
Development	3,382,000	2,612,534	(769,466)	0	3,422,922	3,422,922
Project Mgmt	100,800	142,504	41,704	0	102,020	102,020
QA/IV&V	665,280	538,397	(126,883)	249,480	673,330	423,850
DOIT Oversight	0	0	0	0	0	0
Pricing Validation	0	253,023	253,023	0	0	0
System Engineer	352,200	306,059	(46,141)	0	0	0
System Architect	0	408,079	408,079	0	357,069	357,069
Conversion & Training	0	0	0	0	0	0
Processing	343,500	545,200	201,700	0	343,500	343,500
OE&E	265,000	247,217	(17,783)	265,000	247,217	(17,783)
Overhead	236,360	159,000	(77,360)	152,570	159,000	6,430
Facilities	95,000	0	(95,000)	95,000	0	(95,000)
Total One-Time	6,393,120	6,066,676	(326,444)	1,284,272	6,159,721	4,875,449
Continuing						
Staff						
HHSDC	657,900	0	(657,900)	425,000	657,900	232,900
Consultants						
Ongoing	441,000	0	(441,000)	332,600	446,336	113,776
Processing	229,000	0	(229,000)	601,100	229,000	(372,100)
Overhead	239,160	0	(239,160)	152,160	239,160	86,000
Total Continuing	1,567,060	0	(1,567,060)	1,510,860	1,572,396	61,536
Total	**7,960,180**	**6,066,676**	**(1,893,504)**	**2,795,132**	**7,732,117**	**4,936,985**

Budget Comparison by Fiscal Year

	2005/06			2006/07		
	Approved FSR	**Apr '02 SPR**	**Change**	**Approved FSR**	**Apr '02 SPR**	**Change**
One-Time						
Staff						
HHSDC	0	464,234	464,234	0	0	0
Consultants			0			
Development	0	0	0	0	0	0
Project Mgmt	0	0	0	0	0	0
QA/IV&V	0	252,499	252,499	0	0	0
DOIT Oversight	0	0	0	0	0	0
Pricing Validation	0	0	0	0	0	0
System Engineer	0	0	0	0	0	0
System Architect	0	0	0	0	0	0
Conversion & Training	0	0	0	0	0	0
Processing	0	0	0	0	0	0
OE&E	0	233,548	233,548	0	0	0
Overhead	0	146,000	146,000	0	0	0
Facilities	0		0	0	0	0
Total One-Time	0	1,096,280	1,096,280	0	0	0
Continuing						
Staff						
HHSDC	425,000	425,000	0	425,000	425,000	0
Consultants						
Ongoing	332,600	336,624	4,024	332,600	336,624	4,024
Processing	631,100	601,100	(30,000)	631,100	631,100	0
Overhead	152,160	152,160	0	152,160	152,160	0
Total Continuing	1,540,860	1,514,884	(25,976)	1,540,860	1,544,884	0
Total	**1,540,860**	**2,611,165**	**1,070,305**	**1,540,860**	**1,544,884**	**4,024**

Note: The approved FSR did not quote costs in FY 2006/07. The project change incorporated in this SPR added one year to the project. FY 2005/06 costs from the Approved FSR were carried to the 2006/07 year to reflect estimated costs of the Approved FSR in 2006/07.

ATTACHMENT C – COST ALLOCATION PLAN

CWS/CMS Expanded Adoption Subsystem FY 2002/03					
Program	**Program Percent**	**Program Costs**	**Funding Ratios F/SW**	**Federal Share**	**State Welfare Share**
Title IV-E	100.00%	722,000	50/50	361,000	361,000
Total		**722,000**		**361,000**	**361,000**
CWS/CMS Expanded Adoption Subsystem FY 2003/04					
Program	**Program Percent**	**Program Costs**	**Funding Ratios F/SW**	**Federal Share**	**State Welfare Share**
Title IV-E	100.00%	6,066,677	50/50	3,033,339	3,033,339
Total		**6,066,677**		**3,033,339**	**3,033,339**

ATTACHMENT D – ECONOMIC ANALYSIS WORKSHEETS

The EAWs for the proposed solution, included in show the total adoption program costs and an estimate of all identifiable cost items required to complete the development and implementation tasks of the EAS project. The final staffing and costs associated with the DD&I and IV&V vendor responsibilities will be available for review following contract negotiations.

The EAWs included in this section document the Economic Analysis conducted at the time of the approved FSR for the EAS, and the updated Economic Analysis associated with the change proposed within this report.

ECONOMIC ANALYSIS WORKSHEETS FROM APPROVED FSR

The EAWs for the existing system operations assumed:

- The CDSS Adoptions program cost is included in the Existing System Cost Worksheet. The data has been compiled from the CDSS Budgets, Estimates and Data Analysis organizations. Information Technology staff costs and data center costs for continuing operations are actual cost;
- No CWS/CMS operational costs are allocated to the CDSS Adoptions Branch. Adoptions case workers have access to the system, but presently utilize very little of the CWS/CMS system, and data center costs attributable to adoptions use are negligible; and
- The Project Office estimates that the equivalent of ¼ PY is devoted to testing the current adoption functionality in CWS/CMS.

The EAWs for the proposed alternative included within the Approved FSR assumed:

- Data center costs will increase by five percent per year.
- Adoption caseworkers will utilize the CWS/CMS 20 percent of an average CWS/CMS caseworker;
- The CDSS program staff required to support the EAS project will be absorbed by existing CDSS staffing;
- The annual cost per PY was derived from the estimated hours per job title multiplied by the “loaded” hourly rate as supplied by the Program Office and CDSS;
- Increased revenues will be obtained from two sources (see Section 3.3 of the approved FSR for details):
- Increased federal adoption incentives obtained (estimated to be $4.2M in FY 2004/05, $4.6M in FY 2005/06).
- Reduced cost of foster care due to an initial increase in the number of adoptions (estimated to be $6.4M in FY 2004/05, and $7.1M in FY 2005/06)[2]; and

[2] For FY 2003/04, assuming a savings of $9,129/child * 707 additional adoptions (10% increase) due to EAW = $6,454,203. For FY 2004/05, $9,129 * 773 additional adoptions = $7,056,717.

- There will be a cost of $400,000 (included in Proposed Alternative worksheet in one-time IT Contract Services) for System Architecture definition;
- Adoptions Case Workers currently use the CWS/CMS, which will form the base system for the EAS. Additional training costs for these users have not been included as these users are already proficient at using the CWS/CMS; and
- There will be a cost of $250,000 in FY 2002/03 for an independent pricing validation of the EAS, submitted to the federal government with state planning documents (included in Proposed Alternative in one-time IT Contract Services).

Approved FSR – Economic Analysis Summary

SUM1: Summary Sheet for Single Proposed Alternative

ECONOMIC ANALYSIS SUMMARY

Department: Social Services Adoptions **Project: Expanded Subsystem**

	FY 01/02		FY 02/03		FY 03/04		FY 04/05		FY 05/06		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
ECONOMIC ANALYSIS SUMMARY												
EXISTING SYSTEM:												
Total IT Costs	0.25	$20	0.25	$22	0.25	$24	0.25	$27	0.25	$29	1.25	$122
Total Program Costs	0	$0	0.0	$0	0.0	$0	0.0	$0	0.0	$0	0.0	$0
Total Exist. System Costs	**0.25**	**$20**	**0.25**	**$ 22.00**	**0.25**	**$ 24.20**	**0.25**	**$ 26.62**	**0.25**	**$ 29.28**	**1.25**	$ 122.10
PROPOSED ALTERNATIVE:												
Total Exist. System Costs	0.25	$20	0.25	$22	0.25	$24	0.25	$27	0.25	$29	1.25	$122
(Total Project Costs)	3	$736	13.0	$6,552	21.0	$7,960	13.5	$2,795	5.0	$1,541	55.5	$19,584
(Total Cont. Exist. Costs)	3.25	$352	3.25	$254	3.25	$256	3.25	$259	3.25	$261	16.25	$1,382
Total Alternative Costs	6.25	$1,088	16.25	$6,806	24.25	$8,216	16.75	$3,054	8.25	$1,802	71.8	$20,966
Cost Savings/Avoidances	(6.0)	($1,068)	(16.0)	($6,784)	(24.00)	($8,192)	(16.5)	($3,027)	(8.0)	($1,773)	(70.5)	($20,844)
Increased Revenues				$0		$0		$12,195		$13,192		$25,387
Net (Cost) or Benefit	**(6.0)**	**($1,068)**	**(16.0)**	**($6,784)**	**(24.00)**	**($8,192)**	**(16.5)**	**$9,168**	**(8.0)**	**$11,419**	**(70.5)**	**$4,543**
Cum. Net (Cost) or Benefit	**(6.0)**	**($1,068)**	**(16.0)**	**($7,852)**	**(40.00)**	**($16,044)**	**(56.5)**	**($6,876)**	**(64.5)**	**$4,543**		

Approved FSR – Existing System Costs

EXISTING: Existing System Cost Worksheet

EXISTING SYSTEM COST WORKSHEET

Apr-02

Department: Social Services Adoptions

Project: Expanded Subsystem

	FY 01/02		FY 02/03		FY 03/04		FY 04/05		FY 05/06		TOTALS	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
INFORMATION TECHNOLOGY (IT) COSTS:												
Continuing:												
Staff	0.25	$20.0	0.25	$22.0	0.25	$24.2	0.25	$26.6	0.25	$29.3	1.25	$122.1
Hardware/Software		$0.0		$0.0		$0.0		$0.0		$0.0		$0.0
Data Center Services		$0.00		$0.0		$0.00		$0.0		$0.0		$0.0
Contract Services		$0.0		$0.0		$0.0		$0.0		$0.0		$0.0
Agency Facilities		$0.0		$0.0		$0.0		$0.0		$0.0		$0.0
Other		$0.0		$0.0		$0.0		$0.0		$0.0		$0.0
Total IT Costs	0.25	$20.0	0.25	$22.0	0.25	$24.2	0.25	$26.6	0.25	$29.3	1.25	$122.1
PROGRAM COSTS:												
Staff	0.00	$0.0	0.00	$0.0	0.00	$0.0	0.00	$0.0	0.00	$0.0	0.00	$0.0
Other		$0.0		$0.0		$0.0		$0.0		$0.0		$0.0
Total Program Costs	0.00	$0.0	0.00	$0.0	0.00	$0.0	0.00	$0.0	0.00	$0.0	0.00	$0.0
Total Existing System Costs	0.25	$20.0	0.25	$22.0	0.25	$24.2	0.25	$26.6	0.25	$29.3	1.25	$122.1

Approved FSR – Alternative System Costs

ALTP: Proposed Alternative Cost Sheet

ALTERNATIVE SYSTEM COST WORKSHEET Apr-02

Department: Social Services Adoptions

Project: Expanded Subsystem

PROPOSED ALTERNATIVE:

	FY 01/02		FY 02/03		FY 03/04		FY 04/05		FY 05/06		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
INFORMATION TECHNOLOGY (IT) COSTS:												
One-time:												
Staff	3.0	$230.0	13.0	$953.0	13.0	$953.0	8.5	$522.2	0.0	$0.0	37.5	$2,658.2
Hardware/Software		$0.0		$0.0		$0.0		$0.0		$0.0		$0.0
Data Center Services		$0.0		$545.2		$343.5		$0.0		$0.0		$888.7
Contract Services		$400.0		$4,457.6		$4,500.3		$249.5		$0.0		$9,607.4
Agency Facilities		$0.0		$0.0		$0.0		$0.0		$0.0		$0.0
Other		$106.0		$596.36		$596.36		$512.57		$0.0		$1,811.3
Total One-time IT Costs	**3.0**	**$736.0**	**13.0**	**$6,552.2**	**13.0**	**$6,393.1**	**8.5**	**$1,284.3**	**0.0**	**$0.0**	37.5	$14,965.6
Continuing:												
Staff	0.0	$0.0	0.0	$0.0	8.0	$657.9	5.0	$425.0	5.0	$425.0	18.0	$1,507.9
Hardware/Software		$0.0		$0.0		$0.0		$0.0		$0.0		$0.0
Data Center Services		$0.0		$0.0		$229.0		$601.1		$631.1		$1,461.2
Contract Services		$0.0		$0.0		$441.0		$332.6		$332.6		$1,106.2
Agency Facilities		$0.0		$0.0		$0.0		$0.0		$0.0		$0.0
Other		$0.0		$0.0		$239.16		$152.16		$152.16		$543.5
Total Continuing IT Costs	**0.0**	**$0.0**	**0.0**	**$0.0**	**8.0**	**$1,567.0**	**5.0**	**$1,510.8**	**5.0**	**$1,540.9**	18.0	$4,618.8
Total Project Costs	**3.0**	**$736.0**	**13.0**	**$6,552.2**	**21.0**	**$7,960.2**	**13.5**	**$2,795.1**	**5.0**	**$1,540.9**	55.5	$19,584.4

Approved FSR – Alternative System Costs (pg 2)

ALTERNATIVE SYSTEM COST WORKSHEET Apr-02

Department: Social Services Adoptions **Project: Expanded Subsystem**

PROPOSED ALTERNATIVE:

	FY 01/02		FY 02/03		FY 03/04		FY 04/05		FY 05/06		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
CONTINUING EXISTING COSTS:												
Information Technology Costs:												
Staff	0.25	$20.0	0.25	$22.0	0.25	$24.2	0.25	$26.6	0.25	$29.3	1.25	$122.1
Other		$0.0		$0.0		$0.0		$0.0		$0.0		$0.0
Total IT Costs	**0.25**	**$20.0**	**0.25**	**$22.0**	**0.25**	**$24.2**	**0.25**	**$26.6**	**0.25**	**$29.3**	1.25	$122.1
Program Costs:												
Staff	3.0	$168.0	3.0	$168.0	3.0	$168.0	3.0	$168.0	3.0	$168.0	15.0	$840.0
Other		$164.0		$64.0		$64.0		$64.0		$64.0		$420.0
Total Program Costs	**3.0**	**$332.0**	**3.0**	**$232.0**	**3.0**	**$232.0**	**3.0**	**$232.0**	**3.0**	**$232.0**	15.0	$1,260.0
Total Continuing Existing Cos	**3.25**	**$352.0**	**3.25**	**$254.0**	**3.25**	**$256.2**	**3.25**	**$258.6**	**3.25**	**$261.3**	16.25	$1,382.1
TOTAL ALTERNATIVE COSTS	**6.25**	**$1,088.0**	**16.25**	**$6,806.2**	**24.25**	**$8,216.4**	**16.75**	**$3,053.7**	**8.25**	**$1,802.2**	71.75	$20,966.5
INCREASED REVENUES[1]								$12,195		$13,192		$25,387

Approved FSR – Project Funding Plan

Department: Social Services Adoptions **Project: Expanded Subsystem**

	FY 01/02		FY 02/03		FY 03/04		FY 04/05		FY 05/06		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
PROJECT FUNDING PLAN												
Budgeted:	0.0	$0.0	3.0	$736.0	13.0	$6,552.2	21.0	$7,960.2	13.5	$2,795.1	50.5	$18,043.5
Redirections:												
Existing IT	2.0	$173.0	0.0	$0.0	0.0	$0.0	0.0	$0.0	0.0	$0.0	2.0	$173.0
Existing Program	0.0	$0.0	0.0	$0.0	0.0	$0.0	0.0	$0.0	0.0	$0.0	0.0	$0.0
Other	0.0	$0.0	0.0	$0.0	0.0	$0.0	0.0	$0.0	0.0	$0.0	0.0	$0.0
Total Funds Available	2.0	$173.0	3.0	$736.0	13.0	$6,552.2	21.0	$7,960.2	13.5	$2,795.1	52.5	$18,216.5
Budget Actions Requiring DOF Approval:												
One-Time Costs	1.0	$563.0	10.0	$5,816.2	0.0	($159.0)	-12.5	($6,675.9)	-13.5	($2,795.1)	-15.0	-$3,250.8
Continuing Costs	0.0	$0.0	0.0	$0.0	8.0	$1,567.0	5.0	$1,510.8	5.0	$1,540.9	0.0	$4,618.7
IT Reductions	0.0	$0.0	0.0	$0.0	0.0	$0.0	0.0	$0.0	0.0	$0.0	0.0	$0.0
Program Reductions	0.0	$0.0	0.0	$0.0	0.0	$0.0	0.0	$0.0	0.0	$0.0	0.0	$0.0
Total Budget Actions	1.0	$563.0	10.0	$5,816.2	8.0	$1,408.0	-7.5	-$5,165.1	-8.5	-$1,254.2	3.0	$1,367.9
Total Project Funds	3.0	$736.0	13.0	$6,552.2	21.0	$7,960.2	13.5	$2,795.1	5.0	$1,540.9	55.5	$19,584.4

ECONOMIC ANALYSIS WORKSHEETS FROM MOST RECENT SPR

This is the first SPR submitted for the EAS. No previous SPRs or associated EAWs have been developed.

ECONOMIC ANALYSIS WORKSHEET FOR PROPOSED CHANGE

The EAW for the proposed change utilize the same base assumptions from the approved FSR. The following changes are implemented within the EAW:

- The one-time staff, contract services, and data center services, and other costs originally scheduled for FY 2002/03 have been shifted to FY 2003/04. This change also delays the realization of business benefits by one year. This change is consistent with the proposed change to the project management plan included in Attachment E, Updated Project Management Plan;
- The 1.5 million dollar per annum benefit derived from AFCARS penalty avoidance has been removed as the result of a successful appeal which resulted in an ACYF decision to not assess penalties to states not in compliance with 45 CFR 1355.40;
- Three Program (CDSS) positions were included under “Continuing Existing Costs” within the approved FSR. These were new CDSS positions in support of the project and have been removed in this update. Program tasks for the project will be addressed by existing state and county adoptions staff;
- Benefits related to Adoption and Foster Care Analysis and Reporting System (AFCARS) penalties avoided (estimated to be $1.5M annually) have been removed from the benefit calculation in this SPR. These have been removed as a result of a successful appeal by 12 states which resulted in an Administration of Children and Families decision to not assess AFCARS penalties against states deemed to not be in compliance with 45 CFR 1355.40.
- 248,000 dollars were removed from the primary vendor budget as a result of shifting the SRS deliverable to the state during FY 2002/03;
- “Other” costs within the Proposed Alternative have been updated to reflect the reduced overhead rate charged to CDSS for direct costs incurred for automation project management (reduced from 19.5 percent to 14.47 percent);
- Staff salaries/rates have been corrected to account for correct salaries within each job classification
- For all contract services, the DGS 1.21 percent administrative fee has been added to each line item involving contracted services.
- Economic Analysis Worksheets have been updated to the current EAW format, per the current standard identified in Department of Finance Budget Letter 02-08; and
- An additional year has been inserted into the EAW to accommodate the nine-month delay and to allow a side-by-side comparison of a similar period of benefit realization following system implementation (as compared to the original FSR).

BASELINE COST WORKSHEET

EXISTING SYSTEM/BASELINE COST WORKSHEET

Department: Health and Human Services Data Center

All costs to be shown in whole (unrounded) dollars.

Date Prepared: 5/16/2002

Project: Expanded Adoption Subsystem

	FY 2001/02		FY 2002/03		FY 2003/04		FY 2004/05		FY 2005/06		FY 2006/07		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
Continuing Information Technology Costs														
Staff (salaries & benefits)	0.3	20,000	0.3	22,000	0.3	24,200	0.3	26,600	0.3	29,300	0.3	32,200	**1.5**	**154,300**
Hardware Lease/Maintenance		0		0		0		0		0		0		**0**
Software Maintenance/Licenses		0		0		0		0		0		0		**0**
Contract Services		0		0		0		0		0		0		**0**
Data Center Services		0		0		0		0		0		0		**0**
Agency Facilities		0		0		0		0		0		0		**0**
Other		0		0		0		0		0		0		**0**
Total IT Costs	**0.3**	**20,000**	**0.3**	**22,000**	**0.3**	**24,200**	**0.3**	**26,600**	**0.3**	**29,300**	**0.3**	**32,200**	**1.5**	**154,300**
Continuing Program Costs:														
Staff	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	**0.0**	**0**
Other		0		0		0		0		0		0		**0**
Total Program Costs	**0.0**	**0**	**0.0**	**0**	**0.0**	**0**	**0.0**	**0**	**0.0**	**0**	**0.0**	**0**	**0.0**	**0**
TOTAL EXISTING SYSTEM COSTS	**0.3**	**20,000**	**0.3**	**22,000**	**0.3**	**24,200**	**0.3**	**26,600**	**0.3**	**29,300**	**0.3**	**32,200**	**1.5**	**154,300**

UPDATED PROPOSED ALTERNATIVE WORKSHEET

PROPOSED ALTERNATIVE: **Integrate EAS with CWS/CMS**

Date Prepared: 5/16/2002

Department: Health and Human Services Data Center

All Costs Should be shown in whole (unrounded) dollars.

Project: Expanded Adoption Subsystem

	FY 2001/02		FY 2002/03		FY 2003/04		FY 2004/05		FY 2005/06		FY 2006/07		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
One-Time IT Project Costs														
Staff (Salaries & Benefits)	3.0	230,000	3.0	230,000	12.0	854,663	12.0	854,663	6.5	464,234	0.0	0	36.5	2,633,560
Hardware Purchase		0		0		0		0		0		0		0
Software Purchase/License		0		0		0		0		0		0		0
Telecommunications		0		0		0		0		0		0		0
Contract Services														
Software Customization		0		0		2,612,534		3,422,922		0		0		6,035,456
Project Management		0		0		142,504		102,020		0		0		244,523
Project Oversight		0		0		0		0		0		0		0
IV&V Services		0		0		538,397		673,330		252,499		0		1,464,225
Other Contract Services		400,000		400,000		967,163		357,069		0		0		2,124,232
TOTAL Contract Services		400,000		400,000		4,260,597		4,555,341		252,499		0		9,868,436
Data Center Services		0		0		545,200		343,500		0		0		888,700
Agency Facilities		0		0		0		0		0		0		0
Other		92,000		92,000		406,217		406,217		379,548		0		1,375,982
Total One-time IT Costs	**3.0**	**722,000**	**3.0**	**722,000**	**12.0**	**6,066,677**	**12.0**	**6,159,721**	**6.5**	**1,096,280**	**0.0**	**0**	**36.5**	**14,766,678**
Continuing IT Project Costs														
Staff (Salaries & Benefits)	0.0	0	0.0	0	0.0	0	8.0	657,900	5.0	425,000	5.0	425,000	18.0	1,507,900
Hardware Lease/Maintenance		0		0		0		0		0		0		0
Software Maintenance/Licenses		0		0		0		0		0		0		0
Telecommunications		0		0		0		229,000		601,100		631,100		1,461,200
Contract Services		0		0		0		446,336		336,624		336,624		1,119,585
Data Center Services		0		0		0		0		0		0		0
Agency Facilities		0		0		0		0		0		0		0
Other		0		0		0		239,160		152,160		152,160		543,480
Total Continuing IT Costs	**0.0**	**0**	**0.0**	**0**	**0.0**	**0**	**8.0**	**1,572,396**	**5.0**	**1,514,884**	**5.0**	**1,544,884**	**18.0**	**4,632,165**
Total Project Costs	**3.0**	**722,000**	**3.0**	**722,000**	**12.0**	**6,066,677**	**20.0**	**7,732,117**	**11.5**	**2,611,165**	**5.0**	**1,544,884**	**54.5**	**19,398,843**
Continuing Existing Costs														
Information Technology Staff	0.3	20,000	0.3	22,000	0.3	24,200	0.3	26,600	0.3	29,300	0.3	32,200	1.5	154,300
Other IT Costs		0		0		0		0		0		0		0
Total Continuing Existing IT Costs	**0.3**	**20,000**	**0.3**	**22,000**	**0.3**	**24,200**	**0.3**	**26,600**	**0.3**	**29,300**	**0.3**	**32,200**	**1.5**	**154,300**
Program Staff	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Other Program Costs		64,000		164,000		64,000		64,000		64,000		64,000		484,000
Total Continuing Existing Program Costs	**0.0**	**64,000**	**0.0**	**164,000**	**0.0**	**64,000**	**0.0**	**64,000**	**0.0**	**64,000**	**0.0**	**64,000**	**0.0**	**484,000**
Total Continuing Existing Costs	**0.3**	**84,000**	**0.3**	**186,000**	**0.3**	**88,200**	**0.3**	**90,600**	**0.3**	**93,300**	**0.3**	**96,200**	**1.5**	**638,300**
TOTAL ALTERNATIVE COSTS	**3.3**	**806,000**	**3.3**	**908,000**	**12.3**	**6,154,877**	**20.3**	**7,822,717**	**11.8**	**2,704,465**	**5.3**	**1,641,084**	**56.0**	**20,037,143**
INCREASED REVENUES		0		0		0		0		10,695,000		11,692,000		**22,387,000**

UPDATED ECONOMIC ANALYSIS SUMMARY WORKSHEET

ECONOMIC ANALYSIS SUMMARY

Date Prepared: 5/16/2002

Department: Health and Human Services Data Center

All costs to be shown in whole (unrounded) dollars.

Project: Expanded Adoption Subsystem

	FY 2001/02		FY 2002/03		FY 2003/04		FY 2004/05		FY 2005/06		FY 2006/07		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
EXISTING SYSTEM														
Total IT Costs	0.3	20,000	0.3	22,000	0.3	24,200	0.3	26,600	0.3	29,300	0.3	32,200	1.5	154,300
Total Program Costs	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Total Existing System Costs	0.3	20,000	0.3	22,000	0.3	24,200	0.3	26,600	0.3	29,300	0.3	32,200	1.5	154,300
PROPOSED ALTERNATIVE	**Integrate EAS with CWS/CMS**													
Total Project Costs	3.0	722,000	3.0	722,000	12.0	6,066,677	20.0	7,732,117	11.5	2,611,165	5.0	1,544,884	54.5	19,398,843
Total Cont. Exist. Costs	0.3	84,000	0.3	186,000	0.3	88,200	0.3	90,600	0.3	93,300	0.3	96,200	1.5	638,300
Total Alternative Costs	3.3	806,000	3.3	908,000	12.3	6,154,877	20.3	7,822,717	11.8	2,704,465	5.3	1,641,084	56.0	20,037,143
COST SAVINGS/AVOIDANCES	(3.0)	(786,000)	(3.0)	(886,000)	(12.0)	(6,130,677)	(20.0)	(7,796,117)	(11.5)	(2,675,165)	(5.0)	(1,608,884)	(54.5)	(19,882,843)
Increased Revenues		0		0		0		0		10,695,000		11,692,000		22,387,000
Net (Cost) or Benefit	(3.0)	(786,000)	(3.0)	(886,000)	(12.0)	(6,130,677)	(20.0)	(7,796,117)	(11.5)	8,019,835	(5.0)	10,083,116	(54.5)	2,504,157
Cum. Net (Cost) or Benefit	(3.0)	(786,000)	(6.0)	(1,672,000)	(18.0)	(7,802,677)	(38.0)	(15,598,794)	(49.5)	(7,578,959)	(54.5)	2,504,157		

UPDATED PROJECT FUNDING PLAN

PROJECT FUNDING PLAN

Department: Health and Human Services Data Center | All Costs to be in whole (unrounded) dollars | Date Prepared: 5/16/2002

Project: Expanded Adoption Subsystem

	FY 2001/02		FY 2002/03		FY 2003/04		FY 2004/05		FY 2005/06		FY 2006/07		TOTALS	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
TOTAL PROJECT COSTS	**3.0**	**722,000**	**3.0**	**722,000**	**12.0**	**6,066,677**	**20.0**	**7,732,117**	**11.5**	**2,611,165**	**5.0**	**1,544,884**	**54.5**	**19,398,843**
RESOURCES TO BE REDIRECTED														
Staff	2.0	173,000	2.0	173,000	2.0	173,000	2.0	173,000	2.0	173,000	0.0	0	**10.0**	**865,000**
Funds:														
Existing System		0		0		0		0		0		0		**0**
Other Fund Sources		0		0		0		0		0		0		**0**
TOTAL REDIRECTED RESOURCES	**2.0**	**173,000**	**2.0**	**173,000**	**2.0**	**173,000**	**2.0**	**173,000**	**2.0**	**173,000**	**0.0**	**0**	**10.0**	**865,000**
ADDITIONAL PROJECT FUNDING NEEDED														
One-Time Project Costs	1.0	549,000	1.0	549,000	10.0	5,893,677	10.0	5,986,721	4.5	923,280	0.0	0	**26.5**	**13,901,678**
Continuing Project Costs	0.0	0	0.0	0	0.0	0	8.0	1,572,396	5.0	1,514,884	5.0	1,544,884	**18.0**	**4,632,165**
TOTAL ADDITIONAL PROJECT FUNDS NEEDED BY FISCAL YEAR	**1.0**	**549,000**	**1.0**	**549,000**	**10.0**	**5,893,677**	**18.0**	**7,559,117**	**9.5**	**2,438,164**	**5.0**	**1,544,884**	**44.5**	**18,533,843**
TOTAL PROJECT FUNDING	**3.0**	**722,000**	**3.0**	**722,000**	**12.0**	**6,066,677**	**20.0**	**7,732,117**	**11.5**	**2,611,164**	**5.0**	**1,544,884**	**54.5**	**19,398,843**
Difference: Funding - Costs	0.0	0	0.0	0	0.0	0	0.0	0	0.0	(0)	0.0	0	**0.0**	**0**

Total Estimated Cost Savings	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	**0.0**	**0**

SPECIAL PROJECT REPORT

ADJUSTMENTS, SAVINGS AND REVENUES WORKSHEET
(DOF Use Only)

Department: Health and Human Services Data C
Project: Expanded Adoption Subsystem

Date Prepared: 5/16/2002

Annual Project Adjustments	FY 2001/02 PYs	FY 2001/02 Amts	FY 2002/03 PYs	FY 2002/03 Amts	FY 2003/04 PYs	FY 2003/04 Amts	FY 2004/05 PYs	FY 2004/05 Amts	FY 2005/06 PYs	FY 2005/06 Amts	FY 2006/07 PYs	FY 2006/07 Amts	Net Adjustments PYs	Net Adjustments Amts
One-time Costs														
Previous Year's Baseline	0.0	0	1.0	549,000	1.0	549,000	10.0	5,893,677	10.0	5,986,721	4.5	923,280		
(A) Annual Augmentation /(Reduction)	**1.0**	**549,000**	**0.0**	**0**	**9.0**	**5,344,677**	**0.0**	**93,044**	**(5.5)**	**(5,063,441)**	**(4.5)**	**(923,280)**		
(B) Total One-Time Budget Actions	1.0	549,000	1.0	549,000	10.0	5,893,677	10.0	5,986,721	4.5	923,280	0.0	0	**26.5**	**13,901,678**
Continuing Costs														
Previous Year's Baseline	0.0	0	0.0	0	0.0	0	0.0	0	8.0	1,572,396	5.0	1,514,884		
(C) Annual Augmentation /(Reduction)	**0.0**	**0**	**0.0**	**0**	**0.0**	**0**	**8.0**	**1,572,396**	**(3.0)**	**(57,512)**	**0.0**	**30,000**		
(D) Total Continuing Budget Actions	0.0	0	0.0	0	0.0	0	8.0	1,572,396	5.0	1,514,884	5.0	1,544,884	**18.0**	**4,632,165**
Total Annual Project Budget Augmentation /(Reduction) [A + C]	**1.0**	**549,000**	**0.0**	**0**	**9.0**	**5,344,677**	**8.0**	**1,665,440**	**(8.5)**	**(5,120,953)**	**(4.5)**	**(893,280)**		

[A, C] Excludes Redirected Resources

Total Additional Project Funds Needed [B + D]	**44.5**	**18,533,843**

Annual Savings/Revenue Adjustments

Cost Savings	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0		
Increased Program Revenues		0		0		0		0		10,695,000		11,692,000		

ATTACHMENT G – Completed RAM Report